
	<b>Centerwide System Level Procedure</b> ISO 9001 - Ames Research Center	Document #:	Rev.:
		<b>53.ARC.0006</b>	<b>5</b>
Title: <b>Purchasing</b>		Page #: <b>1 of 12</b>	

REVISION HISTORY			
REV	Description of Change	Author	Effective Date
0	Initial Release	J. Comstock	5/27/98
1	Clarifications based on 7/98 DNV Audit and 6/98 Internal Audit (see DCR 98-031). Major rewrite.	M. Hines	10/8/98
2	Clarification based on 11/98 DNV Audit (DCR 98-060)	R. Serrano	12/18/98
3	Corrections to FAR/NFS references based on 02/99 internal audit; addition of URLs for regulatory references, and deletion of metrics (DCR 99-006)	J. Comstock	3/17/99
4	Deleted reference to the Grants And Cooperative Agreement Handbook in the Reference Documents and in section 3, Definitions and Acronyms. Section 2 added "Act" after "Agreement" (DCR 99-007)	J. Comstock	3/26/99
5	Corrected "Contract Administration" paragraph references on Flowchart (c) (DCR 99-032)	C. Duff	10/6/99

REFERENCE DOCUMENTS	
Document No./Location	Document Title
<a href="http://www.arnet.gov/far/">http://www.arnet.gov/far/</a>	Federal Acquisition Regulation (FAR)
<a href="http://www.hq.nasa.gov/office/procurement/regs/nfs/toc.htm">http://www.hq.nasa.gov/office/procurement/regs/nfs/toc.htm</a>	NASA FAR Supplement
53.ARC.0000	Ames Research Center Quality Manual, Section 4.6
53.ARC.0016	Quality Records
JA WI-PON 04	Justification for Other than Full and Open Competition (JOFOC) Preparation and Approval
JA WI-PON 07	Restricted Access to COAD and AMS Data via EZReport
JA WI-PON 08	Preparation and Routing of Purchase Requests
NOTE: Should any referenced document conflict with provisions of the FAR or NASA FAR Supplement, the latter two shall take precedence.	

Documents referenced in this procedure are applicable to the extent specified herein.

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## 1. Purpose


This procedure defines the process for the acquisition of products and services at Ames Research Center (ARC) which are incorporated into ARC deliverable products in accordance with the ARC Quality Manual.

## 2. Scope


This procedure applies to all purchases/acquisitions of products and services made at ARC. Grant or cooperative agreement awards issued in accordance with the Space Act or Federal Grant and Cooperative Agreement Act (also known as the Chiles Act) are not covered by this procedure.

## 3. Definitions and Acronyms


- |     |   |   |
|-----|---|---|
| 3.1 | Award   | Document (contract, delivery order, or purchase order and any modifications thereto) or the act of executing the document which constitutes the contractual agreement between the government and another party to purchase supplies or services   |
| 3.2 | Bids  | Offers submitted in response to Invitations for Bids under the Sealed Bidding process (see FAR Part 14)   |
| 3.3 | Blanket Purchase Agreement (BPA)                      | Simplified method of filling anticipated repetitive needs for supplies or services by establishing "charge accounts" with qualified sources of supply (see FAR Part 13)   |
| 3.4 | Contract Administration                               | Acquisition activities performed after award (see FAR Part 42)  |
| 3.5 | Contract Specialist                                   | Government acquisition personnel designated by job series to perform contracting actions  |
| 3.6 | Contracting (Acquisition, Procurement, or Purchasing) | Per FAR Part 2, contracting is defined as purchasing, renting, leasing, or otherwise obtaining supplies or services from nonfederal sources. Contracting includes description (but not determination) of supplies and services required, selection and solicitation of sources, preparation and award of contracts, and all phases of contract administration. It does not include making grants or cooperative agreements. |
| 3.7 | Contracting Officer                                   | Contract specialist with the authority to enter into, administer, and/or terminate contracts and make related determinations and findings (see FAR Part 2)  |

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|------|--|---|
| 3.8  | Contracting Officer's Technical Representative (COTR)                                | Qualified government employee appointed by the Contracting Officer to act as technical representative in managing the technical aspects of a particular contract. If necessary, the Contracting Officer may appoint an alternate COTR to act during short absences of the COTR. Technical organizations are responsible for ensuring that the individual they recommend to the Contracting Officer possesses training, qualifications, and experience commensurate with the duties and responsibilities to be delegated and the nature of the contract. (See NFS Part 1842)   |
| 3.9  | Credit Card (also known as "Bankcard" or "Government-wide commercial purchase card") | Purchase card issued to authorized agency personnel to use to acquire and to pay for supplies and services (see FAR Part 13)  |
| 3.10 | Federal Acquisition Regulation (FAR)   | Regulation that codifies and publicizes the uniform policies and procedures for acquisition by all executive agencies   |
| 3.11 | Grants or Cooperative Agreements   | A cooperative agreement shall be used as the legal instrument reflecting a relationship between NASA and a recipient whenever the principal purpose is the transfer of anything of value to the recipient to accomplish a public purpose of support or stimulation authorized by Federal statute. Grants are distinguished from contracts in that grants provide financial or other tangible assistance to the recipient to carry on a fairly autonomous research program. The difference between a cooperative agreement and a grant is that cooperative agreements anticipate substantial involvement between NASA and the recipient during performance of the contemplated activity. |
| 3.12 | Market Research  | Collection and analysis of information about capabilities within the market to satisfy agency needs per FAR Parts 2 and 10.   |
| 3.13 | Micro-Purchases  | Procurements for supplies and services, the aggregate amount of which fall within the dollar threshold defined in FAR Part 2.   |
| 3.14 | NASA FAR Supplement (NFS)  | NASA regulations that implement or supplement the FAR   |

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3.15	Offer	Response to a solicitation that, if accepted, would bind the party offering to perform the resultant contract. Responses to invitations for bids (sealed bidding) are offers called "bids" or "sealed bids." Responses to requests for proposals (negotiation) are offers called "proposals." Responses to requests for offers (Mid Range) are called "offers." (See FAR Part 2, NFS Part 1871)
3.16	Procurement Control Unit (PCU)	Combined activity composed of representatives of the Acquisition and Financial Management Divisions. It serves three main purposes: (1) to expedite the flow of PRs, (2) to screen PRs on behalf of ARC management for compliance with regulations and policy, and (3) to determine and/or certify fund availability.
3.17	Products	Items or services to be delivered to customers as specified in the customer agreement
3.18	Purchase Request (PR)	Document initiating a procurement of supplies or services
3.19	Responsibility, Responsibility Determination	Assessment of a potential contractor to determine if the company meets the standards in FAR Part 9, including evaluation of the contractor's past performance and quality of deliverables
3.20	Responsible Manager	Person having the responsibility and authority to accomplish/implement a specific activity or process (includes organizational line managers, project managers, etc.)
3.21	Servicing	Installing, adjusting, repairing, course training, or maintaining a product or service per customer agreement
3.22	Simplified Acquisition Threshold (SAT)	Procurements for supplies and services, the aggregate amount of which fall within the dollar threshold defined in FAR Part 2
3.23	Solicitation	Per FAR Part 14, this term means an invitation for bids in sealed bidding. Per FAR Part 15, for negotiated procurements this term also means requests for proposals (RFPs) and requests for quotations (RFQs) other than those excluded by FAR Part 15 and those for information or planning purposes. Per NFS Part 1871, this term means requests for offers (RFOs).
3.24	Statement of Work (SOW) or Specification	Description of Agency needs (see FAR/NFS Part 11)

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### 3.25 Synopsis

Process used to publicize contract opportunities and award information per FAR Part 5



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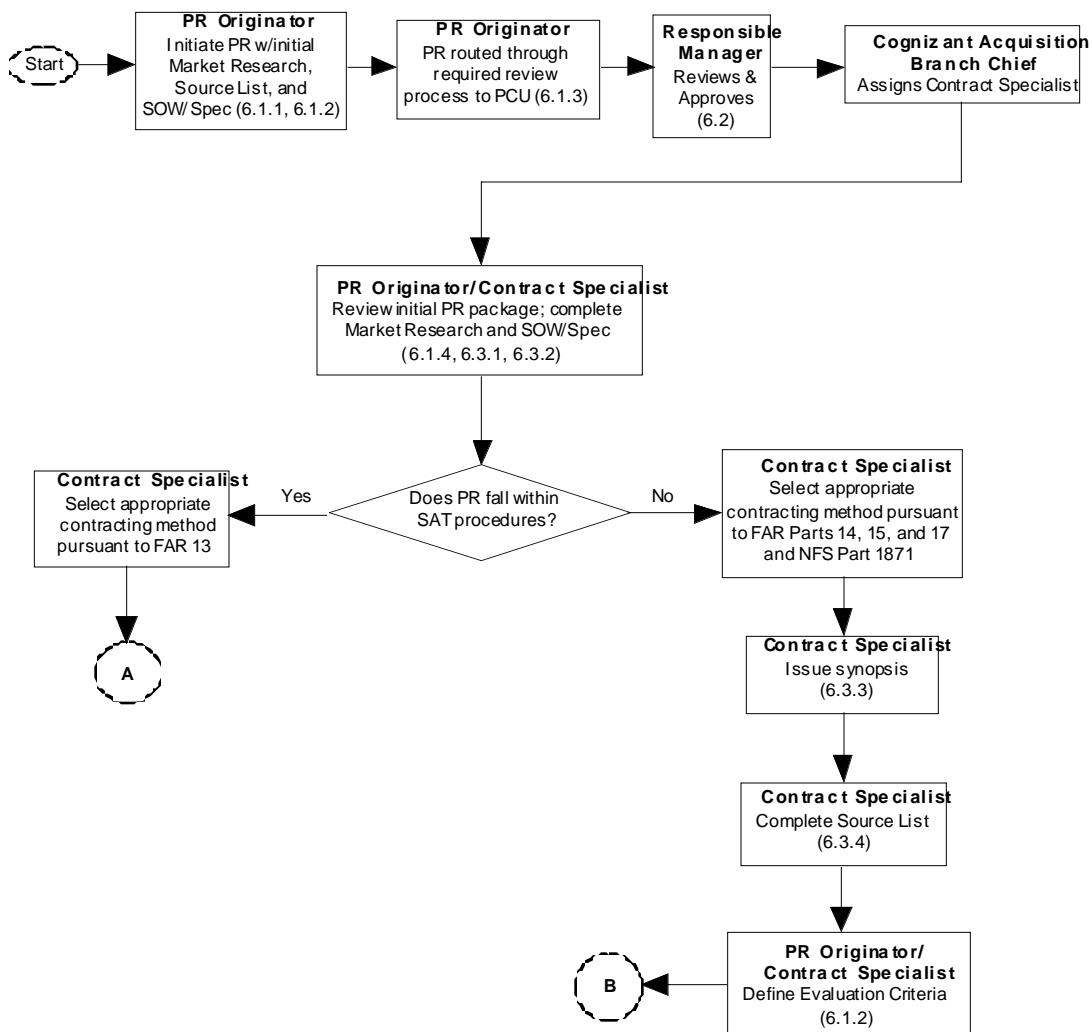
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## 4. Flowchart





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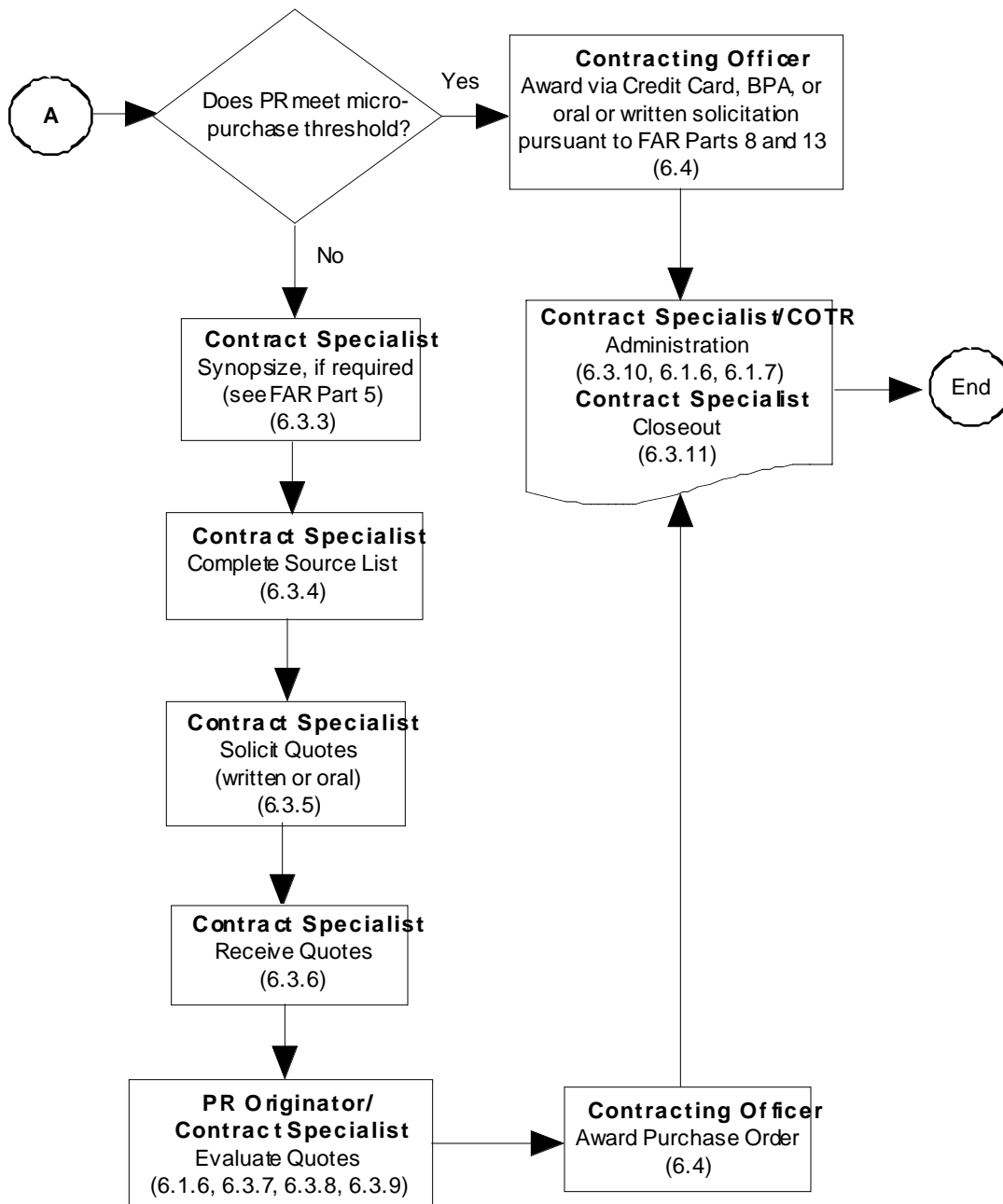
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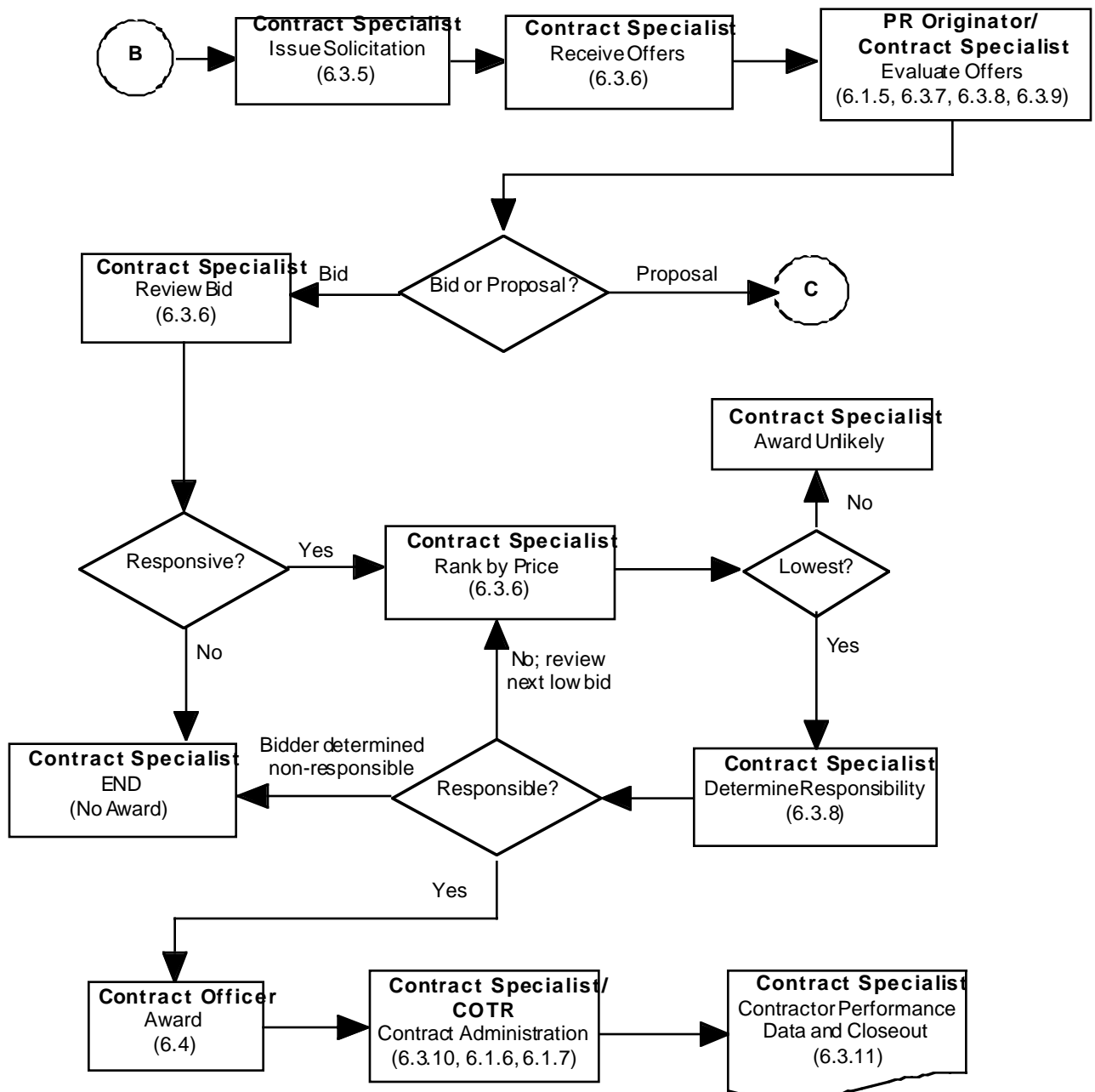
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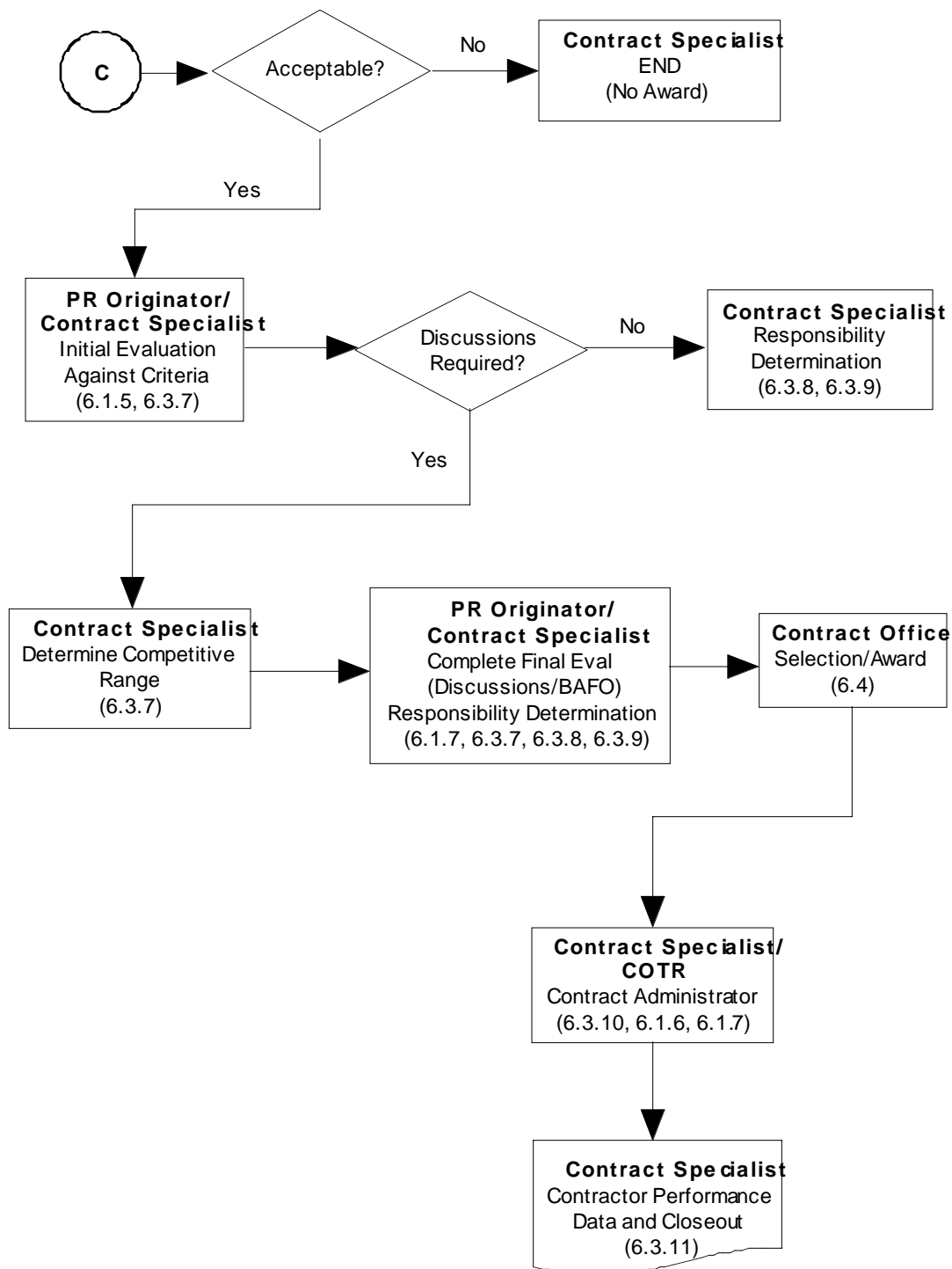
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## 5. Responsibilities

The responsibilities of individuals who will perform the process described in this procedure are detailed in the following Procedure section.

## 6. Procedure

- 6.1 The Purchase Request Originator shall:
  - 6.1.1 Identify the requirement and perform initial Market Research [FAR Part 10].
  - 6.1.2 Prepare initial SOW or Specification [FAR/NFS Part 11] and define evaluation criteria [FAR Part 15] as required. The Statement of Work/Specification shall describe all minimum requirements of the purchase. Such requirements shall include any specific quality assurance or inspection provisions and define the type and extent of control to be exercised by ARC over the contractor. Evaluation criteria shall include past performance.
  - 6.1.3 Submit an approved purchase request/order (ARC 31 or electronic equivalent) and all documentation required to define the requirements of the purchase [FAR/NFS Parts 7, 10 and 11, NFS Part 1804, JA WI-PON 08].
  - 6.1.4 Submit a Justification for Other than Full and Open Competition (JOFOC) if there is only one known source for the supply or service [FAR/NFS Parts 6 and 13, JA WI-PON 04].
  - 6.1.5 Participate in evaluation of offers as required [FAR/NFS Parts 13, 14 and 15, NFS Part 1871] using the evaluation criteria incorporated into the solicitation (see 6.2.5 and 6.2.7).
  - 6.1.6 Perform contract administration within the scope of the COTR delegation [NFS Part 1842, JA WI-PON 07].
  - 6.1.7 Provide the contract specialist with a copy of the Receival and Inspection Report (ARC 76 or equivalent).
- 6.2 The Responsible Manager shall:
  - 6.2.1 Review and approve the SOW or Specification and other purchasing documentation for adequacy of specified requirements.
  - 6.2.2 Forward approved documents to the Acquisition Division via the Procurement Control Unit [JA WI-PON 04 and JA WI-PON 08].
- 6.3 The Contract Specialist shall:
  - 6.3.1 Review the SOW or Specification to ensure that it adequately describes the requirements of the Government [FAR/NFS Parts 7, 10 and 11, NFS Part 1804].
  - 6.3.2 Perform Market Research [FAR Parts 10, 19].


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- 6.3.3 Publicize the requirement through the synopsis process [FAR/NFS Part 5].
- 6.3.4 Develop a source list of potential vendors [FAR Parts 4, 14].
- 6.3.5 Prepare and issue the solicitation [FAR Parts 13, 14, 15 and NFS Part 1871]. The solicitation shall incorporate the SOW or Specification and the evaluation criteria developed in conjunction with the Purchase Request Originator (see 6.1.2) The solicitation shall also include appropriate quality and inspection clauses [FAR/NFS Part 46].
- 6.3.6 Receive offer and hold the bid opening when the Sealed Bidding method of contracting is used [FAR Part 14, NFS Part 1871].
- 6.3.7 Conduct or participate in the evaluation of offers when a contracting method other than the Sealed Bidding method is employed [FAR Part 15, NFS Part 1871] using the evaluation criteria incorporated into the solicitation.
- 6.3.8 Determine responsibility of potential contractor, using the standards set forth in FAR Part 9 that address satisfactory contractor performance, including quality.
- 6.3.9 Prepare the award document.
- 6.3.10 Perform Contract Administration, including the collection of performance data addressing quality of deliverables. Collection of performance data for awards within the simplified acquisition threshold shall be on an exception-only basis where unsatisfactory performance has been provided. [FAR Parts 42, 36, JA WI-PON 07]
- 6.3.11 Close out contract upon completion [NFS Part 1804].
- 6.4 The Contracting Officer shall:
  - 6.4.1 Ensure that all required reviews are accomplished.
  - 6.4.2 Execute the award document. Pursuant to FAR Part 9, the Contracting Officer's signature on an award document constitutes a determination that the vendor is considered responsible with respect to the individual award.
- 6.5 Exclusions
 

Except as provided by FAR/NFS requirements regarding Qualifications Requirements (Subpart 9.2), collection of Contractor Performance Information (Subpart 42.15), and Blanket Purchase Agreements (Subpart 13.2), lists of acceptable contractors are not maintained at ARC. Federal procurement promotes full and open competition to the maximum extent practicable. (See FAR/NFS Part 6.) Therefore, all vendors are initially considered acceptable unless they are excluded from competition (if conditions specified at FAR/NFS Subparts 6.2 and 9.4 are met) or are removed from consideration through the evaluation process.

## 7. Metrics

There are no metrics required for this document.

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## 8. Quality Records

The following Quality Record shall be generated and managed in accordance with 53.ARC.0016.

Required Record	Custodian
Performance data of contractor performance	Procurement Office

## 9. Form(s)

Forms required for this document:

Form Number	Title
ARC 31	Purchase Request/Purchase Order
ARC 76	Receival and Inspection Report